

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : William R. Hambrecht et al. Art Unit : Unknown
Serial No. : To be assigned Examiner : Unknown
Filed : August 4, 2003
Title : AUCTION SYSTEM AND METHOD FOR PRICING AND ALLOCATION
DURING CAPITAL FORMATION

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Copies of the references listed on the attached form PTO-1449 are enclosed.

This statement is being filed with the application. Please apply any charges or credits to
Deposit Account No. 06-1050.

Respectfully submitted,

Date: 8-4-03

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Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 13085-007002	Application No. To be assigned
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant William R. Hambrecht et al.	
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U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	3,581,072	05/25/71	Nymeyer			
	AB	4,789,928	12/06/88	Fujisaki			
	AC	4,903,201	02/20/90	Wagner			
	AD	4,980,826	12/25/90	Wagner			
	AE	5,077,665	12/31/91	Silverman et al.			
	AF	5,101,353	03/31/92	Lupien et al.			
	AG	5,136,501	08/04/92	Silverman et al.			
	AH	5,193,056	03/09/93	Boes			
	AI	5,243,515	09/07/93	Lee			
	AJ	5,297,031	03/22/94	Guterman et al.			
	AK	5,375,055	12/20/94	Togher et al.			
	AL	5,497,317	03/05/96	Hawkins et al.			
	AM	5,502,637	03/26/96	Beaulieu et al.			
	AN	5,640,569	06/17/97	Miller et al.			
	AO	5,774,176	06/30/98	Carter			
	AP	5,774,880	06/30/98	Ginsberg			
	AQ	5,794,207	08/11/98	Walker et al.			
	AR	5,794,219	08/11/98	Brown			
	AS	5,802,501	09/01/98	Graff			
	AT	5,809,483	09/15/98	Broka et al.			
	AU	5,835,896	11/10/98	Fisher et al.			
	AV	5,845,266	12/01/98	Lupien et al.			
	AW	5,857,176	01/05/99	Ginsberg			
	AX	5,905,974	05/18/99	Fraser et al.			
	AY	5,905,975	05/18/99	Ausubel			
	AZ	5,915,209	06/22/99	Lawrence			

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

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	BA	5,924,083	07/13/99	Silverman et al.			
	BB	5,946,667	08/31/99	Tull, Jr. et al.			
	BC	5,995,947	11/30/99	Fraser et al.			
	BD	6,014,627	01/11/00	Togher et al.			
	BE	6,026,383	02/15/00	Ausubel			
	BF	6,035,287	03/07/00	Stallaert et al.			
	BG	6,161,099	12/12/00	Harrington et al.			
	BH	US 2001/0034692 A1	10/25/01	McRedmond			

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	BI	WO 00/51047 A2	08-2000	PCT	Cinelli et al.			

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	BJ	Bicknell, Craig, "IPOs for the Everyman", <u>Wired News</u> , February 8, 1999, 1 pg.
	BK	Bransten, L., et al., "New Company Aims to Shift IPO Playing Field", <u>The Wall Street Journal</u> , February 8, 1999, Page C1.
	BL	Carlsen, Clifford, "Veteran bankers use Net power to fuel IPO market", <u>San Francisco Business Times</u> , February 12, 1999, 1 pg.
	BM	"IPOs for the Public--Really!", <u>CNNfn</u> , February 8, 1999, 1 pg.
	BN	Daly, Breñon, "West Coast firm sets new way for IPOs", <u>CBS Market Watch Report</u> , February 8, 1999, 1 pg.
	BO	Davis, Jeffrey, "The Underwriting Underdog", <u>Business2.0</u> , 7 pgs.
	BP	Edwards, Bob, et al., "Morning Edition (10:00 am on ET)", <u>National Public Radio</u> , February 12, 1999, 1 pg.
	BQ	Friedman, Josh, "A Toast to Open IPO From the 'Little Guy'", <u>Los Angeles Times</u> , April 13, 1999, 1 pg.
	BR	Gates, Stephanie, "The Next Generation of i-banking", <u>Red Herring: The Business of Technology</u> , February 9, 1999, 1 pg.
	BS	Gerhard, Markus, et al., "A Secure Electronic Market for Anonymous Transferable Emission Permits", <u>Proc 31st Annual Hawaii International Conference on System Sciences</u> , IEEE, 1998, pp. 232-241.

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CA	Gilpin, Kenneth N., "How the Web Can Improve Corporate Underwriting", <u>The New York Times</u> , February 14, 1999, 1 pg.
CB	Gorda, Brent, et al., "Building and Running Online Auctions", <u>Dr. Dobb's Journal</u> , Oct. 1997, pp. 86-88, 91, 104.
CC	Hansell, Saul, "Internet Auction System Set For Pricing Stock Offerings", <u>The New York Times</u> , February 8, 1999, Section C7, 1 pg.
CD	Michael Harkavy, et al., "Electronic Auctions with Private Bids", <u>3rd USENIX Workshop on Electronic Commerce</u> , USENIX Association, pgs. 61-73, 8/31-9/3/98.
CE	Henry, David, "Street Talk: IPOs for All", <u>USA Today</u> , February 9, 1999, 1 pg.
CF	Hambrecht, William, "Dutch Treat", <u>TIME digital</u> , May 17, 1999, 1 pg.
CG	"W.R. Hambrecht + Co. Pioneers New Approach to Investment Banking With Launch of OpenIPO", <u>IPO Monitor</u> , San Francisco, February 8, 1999, 2 pgs.
CH	Junnarkar, Sandeep, "Bringing Auction-Based IPOs to the Web", <u>Cnet News.Com</u> , February 8, 1999, 1 pg.
CI	Kikuchi, Hiroaki, et al., "Multi-Round Anonymous Auction Protocols", <u>IEICE Trans. Inf. & Syst.</u> , Vol. E82-D, No. 4, April 1999, pp. 769-776.
CJ	Kumar, Manoj, et al., "Internet Auctions", <u>3rd USENIX Workshop on Electronic Commerce</u> , USENIX Association, 8/31-9/3/98, pp. 49-60.
CK	Letter from David V. Landes to Dan Veres dated August 16, 1996, with attachments.
CL	Markus, Kim, et al., "Sonoma's Ravenswood to Offer Public Shares Over Internet", <u>Wine Spectator</u> , April 30, 1999, 1 pg.
CM	Chang, Yi-Hsin, "Putting the 'I' in IPO", <u>The Motley Fool</u> , February 8, 1999, 1 pg.
CN	Mullen, Tracy, et al., "The Auction Manager: Market Middleware for Large-Scale Electronic Commerce", <u>3rd USENIX Workshop on Electronic Commerce</u> , USENIX Association, 8/31-9/3/98, pp. 37-47.
CO	Mulligan, Thomas, "Internet Auction System Challenges Wall Street", <u>Los Angeles Times</u> , February 9, 1999, 1 pg.
CP	O'Connor, Ashling, "Internet Site Bids for Investors", <u>Financial Times</u> , May 18, 1999, 2 pgs.
CQ	Röhm, Alexander W., et al., "COPS: A Model and Infrastructure for Secure and Fair Electronic Markets", <u>Proceedings of the 32nd Hawaii International Conference on System Sciences - 1999</u> , 10 pgs.
CR	"IPOs Online a Boost for Small Investor", <u>San Jose Mercury News</u> , February 15, 1999, 2 pgs.
CS	Stone, Brad, "How About IPOs for the Masses?", <u>Newsweek</u> , February 15, 1999, pg. 46.
CT	Subramanian, Srividhya, et al., "A Real-Time Protocol for Stock Market Transactions", <u>International Conference on Advance Issues of E-Commerce and Web-Based Information Systems</u> , WECWIS, April 8-9, 1999, IEEE, pp. 2-10.
CU	Letter dated August 28, 1996 from Rick Thomas to Dan Veres with attachment.
CV	Wurman, Peter R., et al., "Flexible Double Auctions for Electronic Commerce: Theory and Implementation", <u>Decision Support Systems</u> , Elsevier Science, Vol. 24, 1998, pp. 17-27.
CW	Young, Eric, "An IPO That's for Everyone", <u>The Sacramento Bee</u> , March 3, 1999, 2 pgs.

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DA	Zimmerman, Ray D., et al., "A Web-Based Platform for Experimental Investigation of Electric Power Auctions", <u>Decision Support Systems</u> , Elsevier Science, Vol. 24, 1999, pp. 193-205.
DB	"Sample Form of MuniBid™ Notice of Sale", 9 pgs.
DC	Brochure, "Introduction to MuniBid™ Optimizing Municipal Bond Sales", 13 pgs.
DD	Pamphlet entitled "MuniBid™ Optimizing Bond Sales for the Tax-Exempt Issuer," undated, 2 pages
DE	Resnick, Amy, B., "Parity On-Line Bidding Program Wins Positive Reviews," <u>The Bond Buyer</u> , May 7, 1997.
DF	Parity ...and the Municipal Securities Issuer, author and date unknown.
DG	Parity brochure, Copyright 1992, 21 st Century Municipals, Inc.
DH	"Internet Benefits SF Redevelopment Offering", <u>California Public Finance</u> , Vol. 10, No. 21, 1 page, Jan. 13, 1997.
DI	Dazzo Nicholas J., "In Today's Muni Market, Data Bases, Not Books, Provide Dealers, Client's with Timely Bond Data: Municipal Bond Dealers Have Never Had it so Easy", <u>The Bond Buyer</u> , Vol. 289, No. 28217, August 29, 1989, 4 pages.
DJ	"JP Morgan and Capital Link in Bid to Develop Electronic Auction for Corporate Debt Securities", <u>Trading Systems Technology</u> , Vol. 2, No. 20, April 24, 1989, 2 pages
DK	Richtmyer, Richard, "Grant Street Advisors Is Setting Up The First Muni Bond Auction Web Site", <u>The Bond Buyer</u> , Vol. 320, No. 30159, 3 pages, June 4, 1997.
DL	Richmeyer Richard, "Survey Shows Bond Market is Warming up to Electronic Trading", <u>The Bond Buyer</u> , Vol. 321, No. 30213, August 20, 1997, 3 pages.
DM	Stirland, Sarah, "News and Trends: Brokers-Dealers to Hawk Products Via Satelite and Cable TV", <u>The Bond Buyer</u> , Vol. 320, No. 30125, April 16, 1997, 3 pages.
DN	U.S. Trademark File History for the Mark "PARITY & Design", (Reg. No. 1,772,581), by Applicant Twenty-First Century Municipals, the file history including specimen entitled "PARITY a Real-Time, No-Risk Bidding Network From 21 Century Municipals", (1992).
DO	Morgenstern, Renata, "Electronic Bidding for Municipal Bonds: Technology Innovation for Competitive Bond Sales", <u>Government Finance Review</u> (Feb. 2000), pp. 23-25.
DP	Richtmyer, Richard, "Gaining PARITY: Dalcomp Purchases Electronic Bid System to Exploit Internet", <u>The Bond Buyer</u> , Feb. 25, 1998, 2 pages.
DQ	Whalen, Robert, "Where is Dalcomp? New Product Awaits Inaugural Deal", <u>The Bond Buyer</u> , August 19, 1998, 1 page.
DR	Whalen, Robert, "Dalcomp's Electronic Bidding System Set to Debut With Wisconsin GO Deal", <u>The Bond Buyer</u> , August 21, 1998, 1 page.
DS	FAX from PARITY dated April 30, 1996.
DT	Brochure entitled: "Q: What Do These Issues Have in Common?" by PARITY, Bellevue, WA, 1 page
DU	Tennessee Local Development Authority, "Official Notice of Sale", 1996 Series A
DV	Bid Form Tennessee Local Development Authority; PARITY Bid Form; PARITY Form of Agreement; Suggested language document, 10 pgs.
DW	PARITY Bid Form, printed June 1, 1994, 11 pages

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	EA	City of Pittsburgh, Pennsylvania, "General Obligation Refunding Bonds. Series A of 1996," 10 pgs.
	EB	U.S. Securities and Exchange Commission, Proposed Rule: Defining the Term "Qualified Purchaser" under the Securities Act of 1933, Release No. 33-8041; File No. S7-23-01
	EC	Epstein, Lee, "Newcomers Guide to the Dutch Auction Process (Securities Auctions)", <u>Corporate Cashflow Magazine</u> , Vol. 11, No. 3, pg. 42(2), March 1990.
	ED	"PopNet Float Shows up the Flaws," <u>The Financial News</u> , February 7, 2000, 2 pages
	EE	"The Initial Public Offering," <u>How the Stock Market Works</u> , John M. Dalton, Editor, 1993, NYIF Corp., Second Edition, pgs. 33-60.
	EF	John Downes and John Elliot Goodman, <u>Dictionary of Finance and Investment Terms</u> , 1998, Fifth Edition, pgs. 132, 243, 600, 275.
	EG	Letter dated August 16, 1996, from David V. Landes to Dan Veres, with attachment

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